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ABSTRACT

This paper describes some of the problems encountered and the resolutions reached in converting Indiana University Libraries serials holdings information to the format specified in the 1980 American National Standard for Serial Holdings Statements at the Summary Level (ANSI). It is noted that this project was part of the development--by OCLC--of an online union list of serials capability for Indiana University, and the conversion--by Indiana University--of their serials information to machine readable form. Brief discussions of various issues raised by conversion to the ANSI standard format cover the requirement of a separate bibliographic record for microform and other reproductions; levels of detail; copy specific vs. institution consolidation; recording of indexes and other supplementary material; acquisition status and nonretention codes; enumeration designators: non-numerical "enumeration"; dual numbering; gaps vs. non-gap breaks; erroneous numbering; choice of date; day, month, and year indications; seasons in chronology; non-Christian dates; bibliographic changes and enumeration; and reproduction of incomplete runs. Examples are provided throughout the paper with OCLC numbers given for samples of Indiana University records. It is concluded that, despite the problems discussed, training staff to implement the ANSI standard is fairly easy. Three references are listed. (ESR)

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EXAMPLES OF HOLDINGS REPORTS AND DECISIONS USING THE AMERICAN NATIONAL STANDARD FOR SERIAL HOLDINGS STATEMENTS AT THE SUMMARY LEVEL

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February, 1983

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This paper represents the opinions of the authors, all of whom have been involved in the serials conversion efforts described. It is not an official report or statement of the Indiana University Libraries.

I. INTRODUCTION

In 1978 the Indiana University Libraries received a USOE Higher Education Act Title II-C grant to support development of an on-line union list of serials capability and conversion of serials information to machine-readable form. The union list of serials capability, developed by OCLC, Inc., has been described elsewhere (1). The work at the Indiana University Libraries included retrospective conversion of both bibliographic and holdings information.

This paper describes some of the problems encountered in converting holdings information to the American National Standard for Serial Holdings Statements at the Summary Level (hereinafter referred to as the Standard)(2). The resolutions reached and brief discussions of the issues raised are included as appropriate. OCLC numbers for records exemplifying Indiana University use of statements given as examples are supplied in parentheses following each example.

From the beginning of the Title II-C grant the Indiana University Libraries were committed to following the Standard (which was then in a draft form). Glyn Evans, Chairman of the ANSI Z-39 Subcommittee developing the Standard, was on the Indiana

University Libraries Project Advisory Committee. His advice and interpretations, as well as those of other advisory committee members and of other librarians working with the evolving standard were sought in many instances. When the Standard received initial approval in August, 1979, work began on creating holdings statements based on Indiana University's existing manually maintained shelflist of bound volumes. In most cases conversion of the data from the old shelflist to the format provided by the Standard is quite easy. However, as with so many real world problems, figuring out how to apply the Standard to the many creative publishing and numbering schemes serials provide is at times a most challenging task.

II. DISCUSSION OF APPLICATIONS OF THE STANDARD

1. PRELIMINARY DECISIONS

The Standard gives specific directions for creating holdings statements which can be applied to the majority of serials with relatively little trouble. In fact, those working with both bibliographic and holdings information were pleased with the significant reduction in complexity required for holdings statements. However, there are some issues which must be resolved before plunging in and coding holdings statements. Some of these are mentioned in the Standard, and others result from applying the Standard in a library's operational setting. Realizing that holdings statements would serve as a source of information for a wide range of users, a major effort was made to resolve these questions and to apply the Standard consistently.

MICROFORM AND OTHER REPRODUCTIONS REQUIRE A SEPARATE BIBLIOGRAPHIC RECORD

The Standard states ".. the summary holdings statement shall be linked to a unique identification of the serial publication for which holdings are reported" (4.2). Because the Anglo-American Catalog(u)ing Rules specify separate bibliographic records for the original publication of a serial and each of its reproductions, holdings statements must be created to correspond to each version the library holds.

There has been discussion of indicating, in a Local Note, that a library also has holdings of the serial in another edition or format. Such indication is of course optional, but useful to users of the holdings information.

In practice, for retrospective conversion work we did not check each bound volume to see if it might be a reproduction. Instead, the first and last volumes were checked, with the understanding that the occasional replacement of a volume with a reprint edition might be undetected. In all other cases the linking of holdings records to appropriate bibliographic records was followed.

LEVELS OF DETAIL

The Standard allows three levels of detail in holdings reports. Because of the variety of needs our data are to serve, the Indiana University Libraries enter all reports at Level 3 (the most detailed).

COPY SPECIFIC VS. INSTITUTION CONSOLIDATION

The Standard provides for composite statements, consolidating holdings from various locations within an institution, and (optionally) separate summary statements for each copy of the serial (1.3.3). Again, because of the detailed information required, the Indiana University Libraries report copy specific information, as well as creating a composite holdings statement.

It is important to distinguish between "copies" and "locations" of a serial. For example, Indiana University has three copies of American Heritage. The most recent years of copy 1 are shelved in the Undergraduate Library, while older volumes are in the General Collections, with volumes being transferred from one location to another on a regular basis. Because volumes of a single copy can be in more than one location, a Local Note is useful in alerting library users.

American Heritage (OCLC #1479963)
Last 10 years in Undergraduate Library

INDEXES, SUPPLEMENTARY MATERIAL

The Standard does not provide a mechanism for recording the presence of indexes (especially cumulative indexes), supplements, special issues, or other extraneous items that creep into serials and cry out for attention. If the presence of such material is recorded in the bibliographic record, no mention ought to be needed in the holdings statement unless the library does not have the items mentioned. (Deciding to alter a bibliographic record, even when this is possible, can raise a number of other problems not directly related to holdings reports.) The occurrence of an occasional supplement not mentioned in the bibliographic record, and not part of the normal enumeration of the serial is indicated in a Local Note.

2. PROBLEMS WITH RECORDING ENUMERATION AND CHRONOLOGY

ACQUISITIONS STATUS CODE AND NONRETENTION CODE

A Nonretention Code of 6 is specified "If the holding library keeps bibliographic units of the reported serial only for a specific period of time ..., or a specific number of units"(4.4.4). A Local Note is allowed to explain the (non)retention policy, and enumeration and chronology are not recorded. For currently received serials (Acquisition Status Code 4) this is a fairly straightforward report. The Indiana University statement is:

> Financial Accounting Standards Board. Exposure Draft
> (OCLC #2630137)
> Retains last six months only.

A problem arises if a limited retention policy is applied to a serial not regularly received. This happens, for instance, when a library does not subscribe to a publication, but accepts issues donated by a library user. In this case some indication that the issue on hand may not be the most recent publication is desirable. This is achieved through a report using Acquisition Status Code of 5 (not currently received), Nonretention Code of 6 (retained for a limited period of time or in a specific pattern of bibliographic units), and a Local Note. Enumeration and chronology are recorded if known. Indiana University records this as:

> United States. Office of Education
> Progress of Education in the United States of America
> (OCLC #2705317)
> Retains latest edition received.

FIRST, SECOND, AND THIRD ORDER DESIGNATORS OF ENUMERATION

The Standard requires libraries to report "the highest, most inclusive level of the nonchronological scheme used by the publisher on the serial to identify the individual bibliographic units of the reported title" (4.5.1). And "A second level shall be allowed, only if necessary to prevent ambiguities" (4.5.1.3). Of course, serials publishers do not feel constrained to numbering schemes of only two levels. For serials issued with series, volume, and part, for example, it may be necessary to note the names or captions applied to the enumeration reported. As indicated in 4.5.1.2, this information belongs in a Local Note, for which the Indiana University wording is:

> American Journal of Archaeology.
> (OCLC #1480119)
> Reported by series and volume.

In this case the third level of enumeration, number, is not reported.

NON-NUMERIC "ENUMERATION"

Section 4.5.1.1 of the Standard requires that "All enumeration of whatever sort should be converted to Arabic numerals." However, 4.5.1.6 says "for alphabetic data upper and lower case characters may be reported. Examples: 23a, 36B." The two statements seem to be contradictory (unless one wishes to infer that enumerations in the form of letters are not enumerations, and therefore exempt from the requirement for conversion to Arabic numerals.) Problems occur, for example, when it becomes necessary to distinguish between volume 5 and volume 5A.

Consider the serial with the following numbering scheme:

*
**
***

Surely the Standard does not imply that the data should be reported as *-***. Unusually inventive numbering schemes might be explained in a numbering peculiarities note on the bibliographic re rd (such as "Volume numbering given in the form of asterisks").

DUAL NUMBERING

The Standard requires that "If there is a scheme of continuously incrementing issue numbers in addition to a scheme of periodic volume numbers and repeating issue numbers, the continuously incrementing issue numbers shall be reported if their use will resolve ambiguity in the summary holdings statement" (4.5.1.8.1). This may require translation to the whole numbering system when working with manual files which had recorded the other scheme.

See, for example the Sociedad Geografica de Colombia. Boletin de la Sociedad Geografica de Colombia, Academia de Ciencias Geograficas (OCLC #1765731) which gradually evolved from using a two level numbering scheme to one using whole numbers only.

The real ambiguity in this case is with the Standard itself, which does not specify when "continuously incrementing issue numbers" (i.e. whole numbers) are to be used. Under this rule, the possibility exists that different libraries will report identical holdings differently. Early drafts of the Standard called for use of whole numbering in all cases. While this would have eliminated ambiguities in future union lists, it would have presented considerable difficulty in converting existing manually maintained data. In many cases written records might not even have revealed the fact that dual numbering schemes were in use if only one numbering scheme had been recorded. In practice, where ambiguous cases present themselves, libraries might wish to check union list reports from other institutions and attempt to conform to the enumeration of those reports.

GAPS VS. NON-GAP BREAKS

The standard "requires the reporting of summary holdings in a positive manner" (4.5). Gaps in holdings are to be inferred. Thus if a holding statement reads:

1:1-3:6,4:7-

it may be inferred that all issues between volume 3, number 6 and volume 4, number 7 are lacking. However, the comma indicating the gap is also, after a fashion, a positive statement. It clearly indicates to the reader that there <u>are</u> missing issues for this title. It is just possible that no issues were actually published between

volume 3, number 6 and volume 4, number 7. Perhaps publication was suspended for a year, but the publisher chose to number the product as though no suspension had occurred. Perhaps "volume 4, number 7" is really a misprint for "volume 3, number 7", and the error was perpetuated forever, creating the impression of a gap where no gap actually existed. The Standard makes it clear that if there really was no gap, the report ought to read:

1:1-3:6;4:7-

Often there is no way one can tell from manual records when an apparent gap is really a gap and when it is a non-gap break. Sometimes a little leg work will reveal the answer. Sometimes there is no answer to be found, and one must simply guess.

ERRONEOUS NUMBERING

As we all know, serials are often misnumbered. The Standard does not state whether, in such instances, the erroneous or correct ennumeration is to be used. There would seem to be no one "correct" answer to the question. Sometimes it makes sense to use the erroneous numbering and ignore the actual numbering. Suppose that volume 3 was repeated in the numbering, but that the error was never corrected by the publisher. Suppose further that the serial ceased with volume 10, number 6. Would anything be gained, except perhaps confusion, by identifying the last issue as 11:6, when that is what it "really" is?

On the other hand, suppose that at some point a publisher read his own volume 11 as volume (Roman Numeral) II. Suppose further that the library had begun its subscription with volume 3, number 1. And suppose finally that the library cancels its subscription with volume 11, number 12. If the erroneous volume numbering is reported, the hapless user is left to make sense of the following:

3:1-2:12

With regard to this particular problem, at least, a foolish consistency would seem to be a genuine hobgoblin, and the best policy might be to state holdings as makes most sense on a case-by-case basis.

CHOICE OF DATE

The Standard requires that in reporting chronology date of coverage is to be preferred to date of publication which in turn is preferred to date of printing (4.5.2.1). In most cases the distinction is easy to follow, but, as always, the publishers of serials find ways to make life difficult. For example, the Women's Trade Union League, in its various and sundry manifestations, issued an annual report, but did not identify the report year covered. Was it the calendar year or something else? In this instance it is more practical to use the date of publication than to guess at the date of coverage. Indeed, date of publication is probably the most frequently available source for the chronology report for such holdings.

INDICATION OF DAY AS WELL AS YEAR AND MONTH

The Standard requires a first order designation of chronology and allows a second order designation "to preclude ambiguity" (4.5). For most chronology reports this means year is reported and month may be used if needed. There is an exception "when there is no enumeration data and it is necessary to report two levels of chronology data to prevent ambiguity" (4.5.2). Recording day as well is not allowed. For the Indiana University Libraries this required ignoring part of the full data which had normally been recorded for daily or weekly publications.

For example, manual holdings records for Daily Variety at Indiana University had indicated the complete date (day, month, and year) for each volume. The report made according to the Standard now gives year and month only.

SEASONS IN CHRONOLOGY

In some cases a second order chronology statement may be required to clarify a holdings report. If the serial dates itself by year and month, this is no problem. However, some serials are identified chronologically by year and season. The Standard does not address this issue. From instructions to report months as Arabic numerals it is argued that seasons should also be converted to numerical form. In a 1980 article Robert Wittorf presented a description of how this might be done

for OCLC check-in records(3). When the "yearly issue cycle" begins with the winter issue the following values are assigned:

Season	Assigned value
Winter	1
Spring	2
Summer	3
Fall	4

When the yearly issue cycle begins with Spring, values are:

Season	Assigned value
Spring	1
Summer	2
Fall	3
Winter	4

Wittorf notes that "it is important that the operator specify what is meant by the assigned values in a Local Notes area of the statement," but does not indicate wording for the note.

When the publication appears in the following pattern, applying Wittorf's guidelines is a simple matter:

Fall 1979
Winter 1980
Spring 1980
Summer 1980
Fall 1980
Winter 1981

In this case the chronology would be reported as 1979:4-1981:1

The following pattern is more problematic:

Fall 1979
Winter 1979/80
Spring 1980
Summer 1980
Fall 1980
Winter 1980/81

Here the chronology statement could be "1979:4-1981:1" with the note "Reported by year and season, Winter=1" or "1979:3-1980:4, Reported by year and season, Spring =1".

Since Wittorf requires a Local Note in all instances, a library's report should be clear to users, but the possibility remains that different institutions will venture different guesses as to when the yearly issue cycle begins.

Moreover, one is occasionally reminded that serials issued in the Southern Hemisphere may begin the year with the Summer or Fall issues.

Potentially even more confusing is the case in which a serial (often one associated with academia) begins its bibliographic enumeration with the fall issue or when the bibliographic year does not coincide with the calendar year. Here the chronology format for the year is all four digits ... separated by a diagonal (/) "if the chronology data for a single bibliographic unit spans a non-calendar year or more than one year" (4.5.2.2).

Journal of Broadcasting
(OCLC #1782873)
1956/1957-

NON-CHRISTIAN DATES

The Standard requires "Non-Christian dates must be converted to the equivalent Christian era dates" (4.5.2.4). Needless to say, this requirement can occasionally be a real challenge. Considerable research revealed that Organographes du cymbalum pataphysicum dated itself from the birth of Alfred Jarry, a precursor of the Dada and Surrealist movements. It is difficult to discover whether the Organographes' dates correspond to the Christian calendar. To what month does "haha" correspond? Do the dates really mean anything at all?

Explanation of such complex "chronologies" are more properly the domain of the bibliographic record. Perhaps it could be argued that, for the purposes of the holdings statement, the publication does not even have a date. In this case no chronology is reported (4.5.2.5).

BIBLIOGRAPHIC CHANGES AND ENUMERATION

Linking holdings statements to serial bibliographic records can be a source of problems if a bibliographic change requires a new record (for example, a title change while the holdings enumeration continues uninterrupted). If this change occurs, for instance, from one issue number to the next within a bibliographic volume, the earlier bibliographic record will end with the last issue under the old title, and the next bibliographic record will begin with the next issue.

As an example consider Atlas World Press Review, which changed to World Press Review with volume 27, number 3. Should the holdings statement for World Press Review be coded as:

27- or as 27:3-

The Standard does not address this issue directly. Section 4.5.1.3 permits a second level of reporting to prevent ambiguities, but it is not obvious whether this case presents an "ambiguity" in the sense which the authors of the Standard intended. After all, the bibliographic records for the related titles should note the beginning and ending issues, and "27-" should suffice. Such a report is also more compact than "27:3-", and compactness is one goal of the Standard. However, eliciting any necessary clarification requires the user to consult the bibliographic record as well as the holdings record. This reduces the efficiency of the reporting system's use, and an argument could be made for the preference of "27:3-".

Unfortunately, using two levels to report the enumeration of holdings for a title requires verification of the second order designator for the beginning of the run as well, and may mean extra work for the reporters. The Standard requires: "If both first- and second-order designators are reported in the enumeration sequence, the relevant first order designator shall be repeated at the beginning and end of each held range" (4.5.1.3).

REPRODUCTION OF INCOMPLETE RUNS

Microform or hard copy reproductions occasionally do not contain a complete set of a serial's original published run. Information to this effect should be part of the bibliographic description of the piece. It is not clear whether it should also be part of the holdings record. If it is not, the unsophisticated user of the record may be misled as to the extent of the library's holdings. In some cases listing all the gaps in a reproduction could lead to an extremely cluttered bibliographic record. When entering bibliographic records for such a title, Indiana University has occasionally resorted to a numbering peculiarities note to explain the problem.

III. SUMMARY REMARKS

The work required to convert holdings records in other forms to the ANSI Standard format, while not exceptionally complicated, demands a high degree of understanding, consistency, and attention to detail. Knowledge of the existing records (and all manner of special notes they include) is important, as is understanding the serial identifiers to which holdings statements are attached.

Training staff to implement the Standard is, fortunately, fairly easy, since most cases prove to be quite straightforward. A "learn-by-doing" approach seems to work best, with, of course, adequate supervision by experienced personnel. Library staff can also learn by discussing particularly complex conversion problems and recording their solutions. Maintaining a record of decisions made on applications of the Standard has proved to be a valuable approach. Such files provide clues and guidance as fresh challenges are encountered. The OCLC Union List of Serials Task Force is an important forum for consideration of problems and their solutions. Examples of reports by other libraries and guidance from network offices and OCLC are also invaluable sources of information.

REFERENCES

1. OCLC, Inc. Serials Control Union Listing Capability. Columbus, Ohio. 1980?

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